

VERMONT AGENCY OF AGRICULTURE, FOOD & MARKETS
CONSUMER PROTECTION AND FOOD SAFETY
Meat Inspection Service
MONTPELIER, VT
Anson Tebbetts, Secretary



MIS DIRECTIVE

Adopted from FSIS Directive 5220.1

5220.1

08/01/19

GRANTING OR REFUSING INSPECTION; VOLUNTARY SUSPENDING OR WITHDRAWING INSPECTION; AND REINSTATING INSPECTION UNDER THE PUBLIC HEALTH INFORMATION SYSTEM

I. PURPOSE

This directive provides instructions for issuing a commercial licenses, to have the license voluntarily suspended or withdrawn; and to reinstate the license after voluntary suspension or voluntary withdrawal. Finally, this directive provides instructions for entering data related to these activities into the Public Health Information System (PHIS).

II. CANCELLATION

FSIS PHIS Directive 5220.1, Rev. 1, *Granting or Refusing Inspection; Voluntary Suspending or Withdrawing Inspection; and Reinstating Inspection under PHIS*, 1/30/13

III. RESPONSIBILITIES FOR GRANTING INSPECTION FOR NEW OFFICIAL MEAT AND POULTRY ESTABLISHMENTS

A. When an applicant requests a new commercial license for meat and poultry products, the Chief of Inspection or designee, is to confirm that inspection is required based on the information provided by the applicant on intended activity. Inspection is required, per [6 V.S.A. § 3306](#), [9 CFR 302.1](#), [381.6](#), [532.1](#), and [590.20](#), at establishments that slaughter or prepare meat food products or slaughter or process poultry for human food that is subsequently transported and held for sale in commerce. Examples of preparing meat or poultry products include, but are not limited to, canning, salting, rendering, boning, cutting up, or otherwise manufacturing or processing.

B. If inspection is required, the Chief is to provide the Meat and Poultry Inspection guide to the applicant. Additionally, the following documents are helpful:

1. [Request for Meat Inspection Services and Meat Handler's License Application](#)
2. [Sanitation Performance Standards Compliance Guide](#) ;
3. [How to Develop a Meat and Poultry Product Recall Plan](#);
4. [FSIS Compliance Guideline HACCP Systems Validation](#) ;

5. [FSIS Compliance Guide for a Systematic Approach to the Humane Handling of Livestock](#) (for livestock slaughter establishments);
6. [Vermont Humane Handling and Good Commercial Practices](#); and
7. [FSIS Food Defense Plan Security Measures for Food Defense](#).

C. For all applications for meat and poultry, the Chief or designee is to review the application for accuracy and completeness. The Chief or designee is to return to the applicant any application that is not complete and specify the areas of the form that need attention.

D. For all new applications, if questions 21, 22 or 23 indicate to the Chief or designee a compliance history, the Chief is to request assistance from the Office of the Attorney General.

E. If there is no basis to refuse inspection, the Chief is to process the application, provided all other requirements are met, which include:

1. Reserve an establishment number and informing the applicant of the reserved establishment number so it can prepare labels;
2. Providing the information to the EIAO for reviews of written plans, reviews of required written plans and procedures, i.e., Hazard Analysis and Critical Control Point (HACCP) plans, Sanitation Standard Operating Procedures (Sanitation SOPs), recall plan or procedures, etc., and
3. Initiate a facility review when the applicant is ready.

NOTE: For a new applicant, the Chief or designee is to reserve an establishment number in the meat inspection file of establishment numbers. The establishment numbers will be reserved for a period of one year for new applicants and for applicants adding types of inspection i.e., adding poultry to a meat establishment. The reserved establishment number will be cancelled if the applicant does not or has not communicated its intentions during the year. The applicant can always reapply after the reserved number has been cancelled by resubmitting a new application.

IV. PROCESSING APPLICATIONS FOR CHANGES OF OWNERSHIP, LOCATION, OR FOR ALL OTHER UPDATES FOR ESTABLISHMENTS

A. The [6 V.S.A. § 3306\(b\)](#) require that a new application shall be made in cases of a change of ownership or location.

B. For updates to existing applications, if changes made to questions 21, 22 or 23 indicate to the Chief or designee a compliance history, the Chief is to request assistance from the Office of the Attorney General.

C. The Chief may contact AAG in any other situation that they believe merits correlation/consultation with AAG, such as applications related to legal cases, consent orders, and establishments or plants where VAAFM previously withdrew or denied inspection.

V. OFFICE RESPONSIBILITIES

A. When a prospective meat or poultry establishment notifies the office that it is ready to be reviewed, the Chief is to:

1. Confirm the prospective establishment will be performing slaughtering or processing activities that require inspection, per [6 V.S.A. § 3306](#), 9 CFR 302.1, 381.6 or 532.1.
2. Review the physical establishment and equipment and determine whether these comply with [9 CFR 416.1](#) through 416.5;
3. Determine whether the prospective establishment has developed written sanitation SOPs in accordance with [9 CFR 416.11](#) through 416.16;
4. Determine whether the prospective establishment has conducted a hazard analysis, or had one conducted for it, for all processes and has developed a HACCP plan covering each product produced by the establishment that according to the hazard analysis includes one or more hazards that are reasonably likely to occur, as described in [9 CFR 417.2\(b\)](#);
5. Determine whether the prospective establishment has developed written recall procedures in accordance with [9 CFR 418.3](#);
6. Establish with the establishment management, hours of operation to ensure core hours are consistent with other establishments on the assignment, if applicable; and
7. Save completed and signed forms in the establishment's profile.

B. If the Chief or designee determines the prospective establishment is not compliant, he or she is to inform the establishment of his or her concerns. If the establishment notifies the Chief or designee that all noncompliant observations are corrected, the Chief or designee is to revisit the establishment.

VII. RMA RESPONSIBILITIES

A. If the Chief decides that inspection should be provided to the establishment, he or she is to ensure that the RMA updates PHIS to reflect the GOI status as "Conditional," and the establishment's approved operating hours (*see PHIS Users Guide*).

The Chief also notifies the Business Office that the license can be issued to the Establishment.

B. During the 90 days following the issuance of the conditional status in PHIS to meat and poultry establishments, in accordance with [9 CFR 304.3\(b\)](#) and [381.22\(b\)](#), the Chief or designee is to verify that the establishment has validated its HACCP plans as per [FSIS Directive 5000.1](#), *Verifying an Establishments Food Safety System*, in accordance with [9 CFR 305.1\(c\)](#), [381.22\(c\)](#) and [417.4](#).

C. During the 90 days following the issuance of the conditional status in PHIS to meat and poultry establishments, the Public Health Veterinarian (PHV) verifies that livestock are being handled humanely at livestock slaughter establishments and that poultry are being handled in a manner consistent with poultry good commercial practices (GCPs) at poultry slaughter establishments. The PHV is to follow the instructions in [FSIS Directive 6910.1](#), *District Veterinary Medical Specialist (DVMS) – Work Methods*.

D. For meat and poultry establishments, within 90 days of issuing the conditional status in PHIS, if the Chief determines that the establishment has validated its HACCP system as required by [9 CFR 417.4\(a\)](#) and has met all other applicable requirements, he/she is to ensure the RMA updates PHIS to reflect the establishment's grant status as "Granted."

E. For most meat and poultry establishments, an initial 90-day validation period corresponds to approximately 60 working days of records for review. Some small and very small establishments may

operate less than 5 days per week. However, at least 13 production days of records need to be available for review by the Agency to determine whether an establishment operating less than 5 days per week has validated its HACCP system adequately. To allow such small and very small establishments the time necessary to gather data to validate their HACCP systems, the Chief may allow an additional 30 calendar days under the conditional status for an establishment to complete validation of its HACCP system.

F. If at the end of the 90-day conditional period or 120-day period if an additional 30 days has been granted to the establishment or plant for validation, the Chief determines that the establishment has not validated its HACCP system in accordance with [9 CFR 417.4](#), the Chief may take an appropriate action in accordance with the 6 V.S.A Chapter 204.

G. The Chief is to ensure the official file is maintained of electronic copies of the application, the recommendation, the grant, and any related documents. In addition, the Chief is to ensure that PHIS is updated to accurately reflect the status of the establishment.

H. If an official establishment or official plant is inactive for more than 120 days, the Chief is to follow the instructions in [VT Directive 5220.3](#), *Issuance of a Ten-Day Letter for Inactive Operations*.

IX. PROCESSING REQUESTS FOR CHANGE IN APPROVED WORK SCHEDULES BY AN OFFICIAL ESTABLISHMENT OR OFFICIAL PLANT

An official establishment or official plant that wishes to alter its approved hours of operation, including a request for an additional shift or the elimination of a shift, will submit a request to the Chief or designee. The Chief is to consider the request for change in hours of operation, or shifts, as set out in [9 CFR 307.4](#) and [381.37](#). If the Chief approves the request, the request to update the schedule is sent to the administrative assistant, and the request to update PHIS is sent to the RMA.

X. OFFICIAL ESTABLISHMENT VOLUNTARY SUSPENSION OR WITHDRAWAL OF INSPECTION

Voluntary Suspensions

A. A voluntary suspension of inspection occurs when an establishment submits a written (i.e., fax, electronic, paper) request to the office for a temporary suspension of operations (e.g., for purposes of sale, major structural changes, or remodeling). A voluntary suspension of inspection is temporary and normally does not exceed 120 calendar days. Upon receipt of such requests, the Chief or designee is to issue a letter confirming the Voluntary Suspension or Voluntary Withdrawal of Inspection Service.

B. An establishment or plant under a voluntary suspension of inspection may need to remain under voluntary suspension more than 120 days due to circumstances that are beyond its control, i.e., inability to obtain equipment on schedule, inability to complete major structural changes because of weather conditions, etc. In such cases, the Chief may extend the 120-day voluntary suspension period but may need to assign another review of the establishment prior to resuming inspected operations.

C. If an establishment's license is suspended by VAAF, effective corrective actions must be proffered by the establishment to bring the establishment into voluntary compliance. A voluntary suspension by the establishment would not negate the ability of VAAF to proceed with an enforcement action such as a suspension.

D. The Chief or designee may grant establishments that operate on a seasonal basis a voluntary suspension of inspection of more than 120 days based on the effective and efficient use of VAAF personnel.

E. When an establishment submits a written (e.g., electronic, paper) request for reinstatement of inspection to the Chief or designee after a voluntary suspension, the Chief or designee is to:

1. Instruct the IIC to visit the establishment, if necessary, to determine whether its written plans, facilities and equipment warrant the reinstatement of inspection;

F. If reinstatement of inspection is warranted, the Chief is to ensure that the data in PHIS is updated to reflect the establishment's current status.

Voluntary Withdrawals

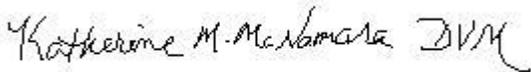
G. A voluntary withdrawal or closing of a license occurs when an establishment submits a written request to cease operations. Upon receipt of such requests, the Chief or designee notifies the business office, and issues a letter confirming a voluntary withdrawal of inspection. The license closure is permanent, and establishments wishing to relicense and reinstate inspection must reapply.

XII. REFUSAL OR WITHDRAWAL OF INSPECTION

A. The Chief is to notify the Director of FSCP and the AAG when there is reason to believe inspection should be refused or withdrawn (other than voluntary withdrawal) from an licensed recipient of inspection.

B. The Chief is responsible for initiating inquiries, assembling documentation, and maintaining contact with AAG, regarding the refusal or withdrawal of inspection. In those instances when the Chief has a basis, under the 6 V.S.A Chapter 204, to refuse to provide inspection services, or to initiate action for the withdrawal of a license, the Chief is to refer the matter to AAG for review and appropriate. The Chief is to provide pertinent information (e.g., information regarding withdrawal of inspection for failure to maintain sanitary conditions, HACCP violations; inhumane slaughter or handling) to AAG to support the refusal or withdrawal of inspection.

XIII. QUESTIONS

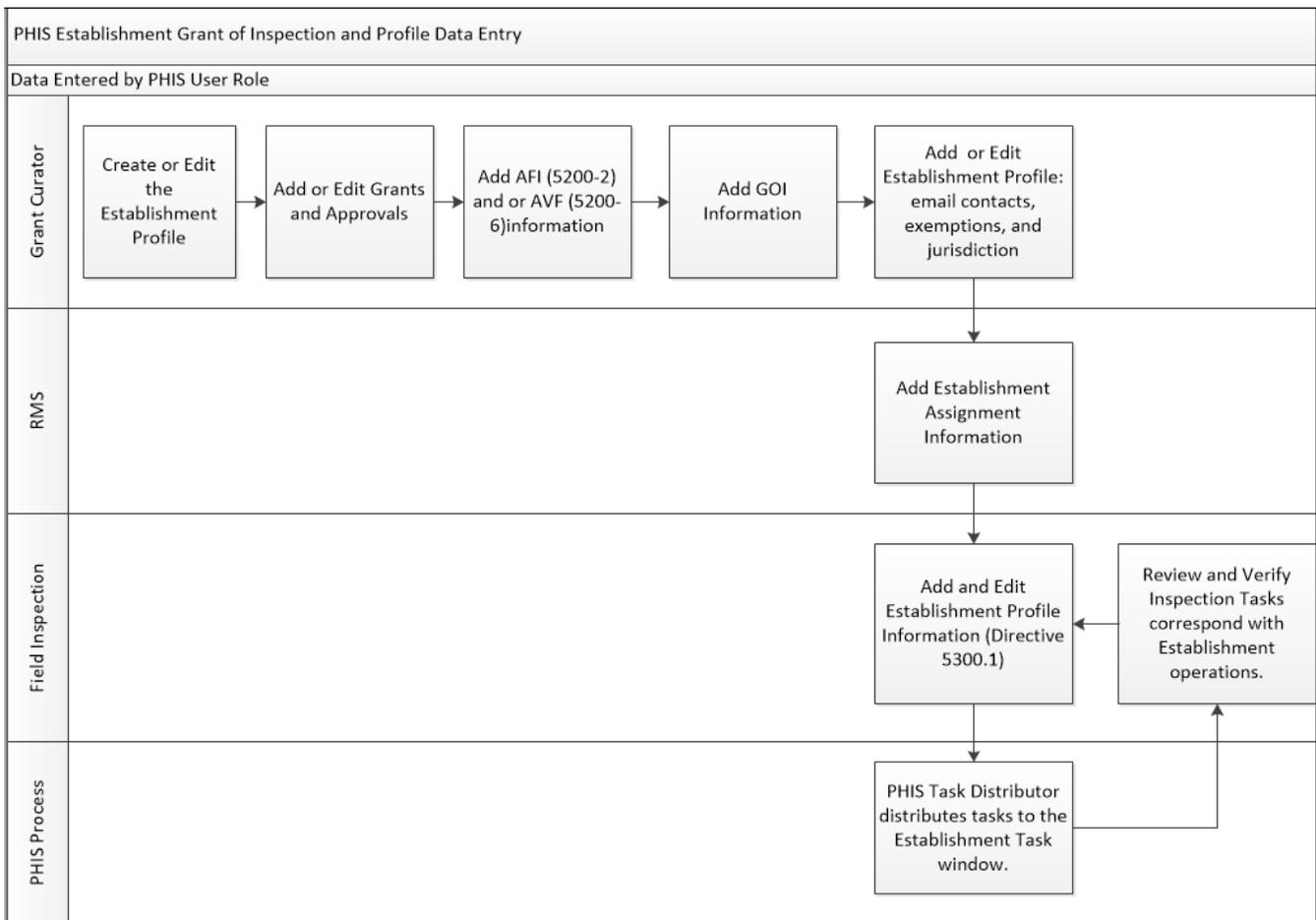
Handwritten signature of Katherine M. McNamara in cursive, followed by the initials "DVM".

Asst. Director FSCP
Meat Inspection Section
VT Agency of Agriculture, Food and Markets

Attachment 1: PHIS Data Entry Instructions for Existing and New Establishments

Overview

The following flow chart describes the basic process for setting up an establishment and assignment in PHIS so inspectors can begin scheduling tasks and entering inspection results. The instructions in this attachment are written primarily for the GC role, but also include information for the Resource Management Analyst (RMA).



Users

In order to completely set up an establishment and its profile, several user roles are required. Table 1 lists the user roles and the process each role is responsible for completing.

Table 1: PHIS Roles and Processes

Role	Process
Grant Curator (GC)	Create the Initial Profile Add Application for Inspection Add Grant of Inspection Edit Existing Grant or Profile
Consumer Safety Inspector (CSI) Frontline Supervisor (FLS) Public Health Veterinarian (PHV)	Enter and Maintain Establishment Profile Information as per FSIS Directive 5300.1
Resource Management Analyst (RMA) Resource Management Financial Planning Staff (RMFPS)	Create and Edit PHIS Inspection Assignments

Information and Materials Required for Existing or New Establishments

Where applicable, the source of the information is noted in parentheses after the step. In some cases, specific block numbers are given, such as (Source: Block #3 AFI). Note that those numbers are derived from the most recent version of Form 5200-2. If you are working with older versions of this form, please be aware the numbering may have changed.

The following information is necessary:

- Original/Copy of the Application for Federal Inspection (AFI), FSIS Form 5200-2 and or
- Original/Copy of the Application for Voluntary Reimbursable Service (AVS), FSIS Form 5200-6
- Original/Copy of the Grant of Inspection (GOI)
- Assignment list with personnel
- Contact information for the FSIS Inspection Office Mailing Address

Access PHIS

PHIS is a Web-based application that you access through a Web browser, such as Internet Explorer. Your computer must be connected to the FSIS network for this task. To access PHIS:

1. Open a Web browser and navigate to the [PHIS Dashboard](#) or click **Start > FSIS Applications > Inspection Assignments > PHIS > USDA FSIS PHIS Online**.
2. Log in with your LincPass (PIV).
3. The PHIS Dashboard opens.

Add Establishment (GC Role)

Before adding a new establishment to PHIS, confirm with the RMA that the appropriate circuit has already been created in PHIS.

To add a new establishment to PHIS, you will need the information contained in the FSIS Form 5200-2, AFI. A user with the GC user role starts the process of adding an establishment to PHIS through the PHIS **Establishment Profile** feature.

Tip: Be sure to save your work periodically so you do not lose any data you have entered.

These instructions explain how to add a meat or poultry establishment that has been approved for a new GOI. For voluntary reimbursable service agreements, see the next section titled “To add a voluntary reimbursable service agreement.”

1. Log in as a GC.
2. Click **Establishment Profile > Add Establishment**.
3. Click **Add new Grant**.

Grant Curator (Domestic & Im) | Home | About PHIS | My Profile | Help | Sign Out

You are here: Home > Domestic Profile > Grants & Approvals

Grant/Voluntary Reimbursable Service

List of Grants:

Add new Grant

Number	Type	Status	Inauguration Date	Last Application Date	Last Application Type	Edit
There are no records to display						

List of Voluntary Reimbursable Services:

Add new Voluntary Reimbursable Service

Number	Type	Status	Inauguration Date	Last Application Date	Last Application Type	Edit
There are no records to display						

Operating Status:

Save

Operating Status History:

Status	Date From	Date To
There are no records to display		

PHIS Home | Build# v6.3.2

The **Application for Federal Inspection (AFI)** (PHIS AFI from this point forward) page opens.

Grant Curator (Domestic & Im) | Home | About PHIS | My Profile | Help | Sign Out

You are here: Home > Domestic Profile > Application for Federal Inspection

Application for Federal Inspection (AFI)

Application

Date*:

PBIS Establishment ID: (This is listed as EstID in PBIS reader – NOT the Est number.)

Type*: New Change of Ownership
 Change of Location Application Extension

Type of Inspection Required*: Meat Poultry Egg Import Equine

Inauguration Date:

Organization

- For the **Date** field, enter the date you, as the GC, are adding the establishment to PHIS.
- For the **Type** field, select **New**.
- Select the **Type of Inspection Required** and select all that apply by checking the corresponding box: **Meat, Poultry, Egg** and/or **Import**. (Source: FSIS Form 5200-2 Block #3 AFI)

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0583-0153. The time required to complete this information collection is estimated to average 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

U.S. DEPARTMENT OF AGRICULTURE FOOD SAFETY AND INSPECTION SERVICE		Submit this application electronically, or by mail, to the Grant Curator at the appropriate U.S. Department of Agriculture, Food Safety and Inspection Service, District Office . Complete all sections. If a section is not applicable, enter N/A or None. If additional space is needed for any items, use the continuation sheet provided or an attachment. Number the item.	
APPLICATION FOR FEDERAL INSPECTION (Meat, Poultry, Siluriformes Fish, Egg Products and Import Inspection)			
SECTION I. APPLICANT INFORMATION			
1. Date of Application	<input type="text"/>	1a. Existing Establishment Number (if applicable)	<input type="text"/>
2. Type of Application (check all that apply)			
<input type="checkbox"/> New	<input type="checkbox"/> Change of Location	<input type="checkbox"/> Change of Ownership	<input type="checkbox"/> Other, specify: <input type="text"/>
3. Type of Inspection (check all that apply) 			
<input type="checkbox"/> Meat	<input type="checkbox"/> Poultry	<input type="checkbox"/> Egg Products	<input type="checkbox"/> Import <input type="checkbox"/> Siluriformes Fish

Please note FSIS Form 5200-2 Block #3 may specify “Siluriformes Fish”; if so, please select **Meat** in the PHIS AFI as per the instructions in Section VIII. H of the Directive.

The page refreshes each time you select, by placing a check in the corresponding box, a **Type of Inspection Required**. Please allow time for the page to refresh after each selection is made; otherwise, you may have to redo some data entry. It is okay to check multiple boxes, you just need to pause between each selection. If you do check multiple Types of Inspection, a separate section for each Type of Inspection selected is made available for data entry further down on the page.

7. Select the **Form of Organization**. (Source: Block #4 AFI)

Organization

Form of Organization*: Individual Cooperative Association Partnership
 Corporation Educational Institution LLC
 Other

By default, **Individual** is selected. If you select a different option, the page refreshes and additional fields may become available. For example, if you select **Corporation**, the page refreshes and fields for **Corporate Information** appear on the page. Use the information from the applicable Blocks # 4-9 on the FSIS Form 5200-2, AFI to complete the sections in the PHIS AFI.

FSIS 5200-2 (11-18-2015), AFI Blocks # 4-14

4. Form of Organization (check applicable box)

Individual
 Cooperative Association
 Partnership
 Corporation
 Education Institution
 Limited Liability Company (LLC)
 Other

5. If Corporation, Name of State or Territory where Incorporated <input type="text"/>	6. Date Incorporated mm/ dd/ yyyy <input type="text"/>	7. Name and Address of Corporate Headquarters Name <input type="text"/> Address <input type="text"/> City <input type="text"/> State <input type="text"/> Zip Code <input type="text"/> Country <input type="text"/>
8. Federal Employer ID# <input type="text"/>	9. Dun & Bradstreet # (if applicable) <input type="text"/>	
10. Firm's Code (Import Only) <input type="text"/>		
11. Name of Applicant (person, firm or corporation making application) and mailing address Name <input type="text"/> Address <input type="text"/> City <input type="text"/> State <input type="text"/> Zip Code <input type="text"/> Country <input type="text"/>		12. Telephone number and e-mail address of applicant phone <input type="text"/> e-mail <input type="text"/>
13. Actual Name of Company and Physical Location Address of Establishment Name <input type="text"/> Address <input type="text"/> City <input type="text"/> State <input type="text"/> Zip Code <input type="text"/> Country <input type="text"/>		14. Telephone number, mailing address and e-mail address of establishment phone <input type="text"/> mailing address <input type="text"/> e-mail <input type="text"/>

NOTE: The e-mail contact information identified on the FSIS Form 5200-2 will be entered in **PHIS Establishment Profile > Contacts** section by the in-plant CSI. See Part E. below for directions.

8. Complete the required fields (*) in the **Applicant (Owner)** section. (Source: Blocks #11 and #12 AFI)

Applicant (Owner)

TIN: (at least 3 characters)

DUNS#:

Name*:

Telephone*:

Mailing Address

Address Line1*:

Address Line2:

City*:

Country*: UNITED STATES

State/Province*: Select

Postal Code*:

9. Complete the required fields (*) in the **Plant** section. (Source: Blocks #13 and #14 AFI)

Plant*

Name*:

Telephone*:

Phone Number Same as Applicant's Phone Number

Physical Location Physical Location Same as Applicant's Mailing Address

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:

Postal Code*:

Mailing Address Mailing Address Same as:

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:

Postal Code*:

NOTE: If the information in the **Telephone**, **Physical Location**, or **Mailing Address** fields is the same as the applicant's, you can select the appropriate check boxes to copy the information.

- a. Enter information in the **Co-located Official Establishments** block if you have co-located establishment information. (Source: Block #16 AFI)
- b. Enter information in the **Doing Business As** block if you have doing-business-as information. (Source: Block #17 AFI)
- c. The **Ready to Operate** date is not required for existing establishments, but if you have the historical information, you can enter it. (Source: Block #18 AFI)

Co-Located Official Establishments

Add new Co-Located Establishment

Number	Name	
--------	------	--

No records to display.

Doing Business As

Add new Name

Name		
------	--	--

No records to display.

Ready to Operate

Month & Year: 

Comments:

Ownership and Management Information 

10. Select the **Animals to be Slaughtered** and/or **Types of Products** in the **Meat Inspection, Poultry Inspection, Egg Product** or **Import** sections. Be sure to select all applicable by placing checks in the appropriate boxes. This information is critical to the proper assignment of tasks to the establishment. (Source: Section III of the AFI.) If the applicant has checked “Siluriformes Fish” in block 19-A of the AFI, do not check **Siluriformes** in the **Animals to be Slaughtered** section as per the instructions in Section VIII. H of the Directive. Remember, the selection made in Step 5 above, **Type of Inspection Required** will determine which parts of the Section III AFI information is made available to you in PHIS. The screenshot example below shows Section III AFI information which would be needed in PHIS if **Meat, Type of Inspection Required** was selected in Step 5 above:

Animals to be Slaughtered		
<input type="checkbox"/> Calf		
<input type="checkbox"/> Cattle		
<input type="checkbox"/> Goat		
<input type="checkbox"/> Sheep		
<input type="checkbox"/> Siluriformes		
<input type="checkbox"/> Swine		
Types of Products		
<input type="checkbox"/> Fully Cooked - Not Shelf Stable		
<input type="checkbox"/> Heat Treated - Not Fully Cooked - Not Shelf Stable		
<input type="checkbox"/> Heat Treated - Shelf Stable		
<input type="checkbox"/> Not Heat Treated - Shelf Stable		
<input type="checkbox"/> Product with Secondary Inhibitors - Not Shelf Stable		
<input type="checkbox"/> Raw - Intact	<input type="checkbox"/> Cuts (including Bone in and Boneless Meats) <input type="checkbox"/> Boneless and/or Skinless Parts <input type="checkbox"/> Other Intact	Carcasses: <input type="checkbox"/> Calf <input type="checkbox"/> Cattle <input type="checkbox"/> Goat <input type="checkbox"/> Sheep <input type="checkbox"/> Siluriformes <input type="checkbox"/> Swine
<input type="checkbox"/> Raw - Non Intact	<input type="checkbox"/> Ground Product <input type="checkbox"/> Other Non-Intact	
<input type="checkbox"/> Slaughter		
<input type="checkbox"/> Thermally Processed/Commercially Sterile	<input type="checkbox"/> Soups <input type="checkbox"/> Corned (species) <input type="checkbox"/> Other <input type="checkbox"/> Ham	

NOTE: For slaughter establishments, you must select by checking a box in the **Animals to be Slaughtered** section. The **Import, Type of Inspection** cannot be selected with any other **Type of Inspection**.

- a. The Information in AFI Section III, 19 C, Exemptions, and 19 D, Jurisdiction will be entered in the **PHIS Establishment Profile > General** section. See Part E. below for directions.

11. In the **Ownership and Management Information** section enter the required field of **Person Signing Application** (This is the non-FSIS person who signed application). (Source: Block #28 AFI)

12. In the **FSIS Information** section, enter the required fields (*):

Information

Establishment Number*

 Add new Establishment Number

Type of Inspection	Establishment Number
No records to display.	

Approver's Name*:

Date Approved*: 

Circuit

Business Unit:

Area/District*:

Circuit*:

a. Establishment Number

- i. Click **Add new Establishment Number**. (Source: Block #2 Grant of Inspection.
- ii. NUMBERING FORMAT
 - 1) FSIS alone controls the assignment and use of establishment number(s). Once a number is assigned to an establishment for a particular type of inspection that number remains with that operation for as long as the establishment remains in operations. Note: The establishment profile remains in PHIS after inspection is withdrawn.
 - 2) The establishment number includes any number created by adding alpha letters as suffixes to the number to identify two or more establishments under the same ownership or control. Note: this is an optional choice for the applicant or new owner.
 - 3) When a company is sold, the establishment number can be transferred to the new company. The transfer is subject to approval by the District Manager and requires the issuing of a new GOI to reflect the changes in ownership. Note: the former owner's GOI is withdrawn but the establishment number remains active.
 - 4) If a previous owner has a debt with Financial Services Center (FSC) for reimbursable services, that debt remains with the establishment number(s).
 - 5) The new owner can also request a different establishment number.
 - 6) If an establishment voluntarily withdraws for a short period of time and then desires to re-apply for inspection, the number can be reissued to the same establishment, if that request is received in writing as communicated with the

DO GC. Note: The PHIS plant profile can be reactivated by contacting RIS Help at RISHelp@fsis.usda.gov.

- 7) One official establishment will have one establishment number with different inspection type indicators (e.g., M38, P38, V38, G38, I38) to differentiate the types of service that FSIS provides. In certain limited circumstances, an establishment can request a specific establishment number(s), such as when a new application is submitted because of a change of location or ownership of an establishment, as set out in 9 CFR 304.1(c).

Note, there are some existing establishments with different numbers and indicators, (e.g., M38 and P1234); however, PHIS recognizes a “Primary Establishment Number” which is by default the “M” number when there is an M, P and or V; or the P number when there is a P or V.

- iii. Select the **Type of Inspection**. The available values are based on what you chose in Step 5. (Source: Block #7 GOI)

For **Ownership Number**, PHIS defaults to the next available number. If you are entering a grant for an existing establishment, delete the default value and type the already assigned establishment number. Enter numerals only.

NOTE: There is a change in the format of establishment numbers in PHIS. Where in PBIS a number could be 00038A M, in PHIS it would be M38A. The M is the “type” (meat); the 38 is the “ownership number;” and the A is the “suffix.”

- iv. Enter a suffix in the **Suffix** field if applicable. After you click the **Suffix** field, a preview of what the establishment number will look like appears below the suffix data-entry field.

The screenshot shows a web form titled "FSIS Information" with a sub-section "Establishment Number*". Inside this section, there is a button "Add new Establishment Number". Below it, there are two tabs: "Type of Inspection" and "Establishment Number". Under the "Type of Inspection" tab, there is a form titled "Add New Establishment Number" with the following fields:

- Type of Inspection*: Meat (dropdown menu)
- Ownership Number*: 38 (text input)
- Suffix: A (text input)
- Establishment Number: M38A (displayed text)

At the bottom right of the form, there are "Save" and "Cancel" buttons.

- v. Click Save.

vi. Repeat this process for each Type of Inspection.

b. **Approver's Name**, typically the District Manager or the approver on the application (Source: Block #26 AVS)

c. **Date Approved** (Source: Block #27 AVS)

13. In the **Circuit** section, select the **Area** and **Circuit** from the drop-down lists. (For example, "80 – Raleigh, NC" and "16 – Newark, NJ" as the Circuit.)

Circuit

Business Unit: Office of Field Operations

Area/District*: 80 - Raleigh, NC ()

Circuit*: 16 - Newark, NJ

14. Click **Finish**. The grants are listed on the **Grant/Voluntary Reimbursable Service** page with a **Status** of **Reserved**.

15. Click **Reserved** to change the status of each grant.

16. From the **New Status** field, select **Recommended** for each grant.

17. Click **Recommended**. Continue to update the grant until you reach the **Granted** status, or you can begin entering the establishment profile information, which is covered in the next section titled **Enter Establishment Profile**.

18. From the **New Status** field, select **Conditional**.

19. Enter the required fields:

a. **Inauguration Date** (Source: Block #9 GOI)

NOTE: Once you save this record, you can no longer edit the Inauguration Date field. Please verify the date is correct before clicking Save.

b. **Approved Hours of Operation** (Source: FSIS Form 5200-15 *Hours of Operation Request/Approval* form)

i. Click **Add new Inspection Hour**

ii. Select the **Shift**.

iii. Select the days the establishment operates.

- iv. Enter the **Start time** and **End time**.
 - v. Click **Save**.
 - vi. Repeat this process for each shift.
- c. Select **Yes** for **Applicant qualified by OIEA ELD?**
 - d. Click **Save**.
 - e. Repeat steps a-d for each type of inspection.

20. Click **Conditional**.

21. From the **New Status** field, select **Granted**.

22. Select **Yes** for **Has the establishment validated its HACCP Plans?**

23. Click **Save**.

24. Repeat steps 20 – 23 for each grant.

How to add a Voluntary Reimbursable Service Agreement:

These instructions explain how to add voluntary reimbursable service agreements. If you have already entered a meat or poultry grant, much of the information in the voluntary reimbursable service agreement will be pre-populated. The Steps below will function much like the ones above, but you are using the FSIS Form 5200-6 *Application for Voluntary Service (AVS)* as a source reference instead of the AFI.

1. Log in to PHIS as a GC.
2. For new establishments, click **Establishment Profile > Add Establishment**. For existing establishments, click **Select Establishment**, search for the establishment, and select it; then select **Grants and Approvals**.
3. On the **Grants/Voluntary Reimbursable Service** page, click **Add New Voluntary Reimbursable Agreement**.

The screenshot shows the 'Grant/Voluntary Reimbursable Service' application page. The page has a sidebar on the left with navigation options: Establishment Profile, Add Establishment, Select Establishment, Profile Summary, Grants and Approvals, Contacts, Operating Schedule, General, Equipment, Facility, Waivers and Letters, and View Report. The main content area has a green header with the title 'Grant/Voluntary Reimbursable Service'. Below the header, there are three sections: 'List of Grants', 'List of Voluntary Reimbursable Services', and 'Operating Status History'. Each section has a table with columns for Number, Type, Status, Inauguration Date, Last Application Date, Last Application Type, and Edit. The 'List of Voluntary Reimbursable Services' section has a red arrow pointing to the 'Add new Voluntary Reimbursable Service' button. Below this section, there is an 'Operating Status' dropdown menu set to 'Inactive' and a 'Save' button. The 'Operating Status History' section has a table with columns for Status, Date From, and Date To.

The **Application for Voluntary Services (AVS)** page opens.

4. In the **Date** field on the **Application for Voluntary Services (AVS)** page, type today's date. (MM/DD/YYYY)
5. For the **Type**, select **New**.
6. Select the **Form of Organization**.

NOTE: By default, **Individual** is selected. If you select a different option, the page refreshes and additional fields may become available. For example, if you select **Corporation**, the page refreshes and fields for **Corporate Information** appear on the page.

7. Complete the required fields (*) in the **Applicant (Owner)** section. (Source: Blocks #4 through #8 AVS)

Applicant (Owner)

TIN: (at least 3 characters)

DUNS#:

Name*:

Telephone*:

Mailing Address

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:

Postal Code*:

8. Complete the required fields (*) in the **Plant** section. (Source: Block #9 and #10 AVS)

Plant*

Name*:

Telephone*:

Physical Location Physical Location Same as Applicant's Mailing Address

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:

Postal Code*:

Mailing Address Mailing Address Same as:

Address Line1*:

Address Line2:

City*:

Country*:

State/Province*:

Postal Code*:

NOTE: If the **Telephone**, **Physical Location**, or **Mailing Address** is the same as the applicant's, you can select the appropriate check boxes to copy the information. See Part E. below for directions. As with the

AFI, the e-mail contact information identified on the FSIS Form 5200-2 will be entered in the **PHIS Establishment Profile > Contact** section by the in-plant CSI.

9. In the **Services Requested** block, select the appropriate services or voluntary slaughter information. (Source: Block #11 through #18 AVS)
10. Enter the required fields in the **Ownership and Management Information** section for the **Person Signing Application** (This is the non-FSIS person who signed application (AVS Block #19). (Source: Blocks #19 through #22 AVS)
11. In the FSIS **Information** section, enter the required fields (*):

The screenshot shows the 'Information' section of the PHIS system. It features a table for 'Establishment Number' with columns for 'Type of Inspection' and 'Establishment Number'. A button labeled 'Add new Establishment Number' is positioned above the table. Below the table, there are two input fields: 'Approver's Name' and 'Date Approved', both marked with an asterisk to indicate they are required fields.

- a. Establishment Number
 - i. Click **Add New Establishment Number**.
 - ii. For **Ownership Number**, if a meat or poultry grant already exists, PHIS defaults to already assigned number; otherwise, PHIS displays the next available number. If you are entering information for an existing plant that has a meat or poultry grant, accept the already assigned number. If you are entering information for an existing plant that does not have a meat or poultry grant, but already has an establishment number, overwrite the next available number value so that it matches the current establishment number.
 - iii. Enter a suffix in the **Suffix** field if applicable. After you click the **Suffix** field, a preview of what the establishment number will look like appears below the suffix data-entry field.
 - iv. Click **Save**.
- b. **Approver's Name**, typically the District Manager or the approver on the application (Source: Block #26 AVS)
- c. **Date Approved** (Source: Block #27 AVS)

12. In the **Circuit** section, select the **Area** and **Circuit** from the drop-down lists.

13. Click **Finish**. The voluntary approval is listed on the **Grant/Voluntary Reimbursable Service** page with a Status of **Reserved**
14. Repeat steps 3-13 for each additional voluntary approval you need to enter.
15. Click **Reserved** to change the status of the voluntary approval.
16. For the **New Status** field, select **Recommended** for the voluntary approval.
17. Click **Save**.
18. On the **Grant/Voluntary Reimbursable Service** page, click **Recommended**.
19. For the **New Status** field, select **Granted** for the voluntary approval.
20. Click **Save**.
21. On the **Grant/Voluntary Reimbursable Service** page, select the operating status from the drop-down list.
22. Verify that the status is **Active**.
23. Click **Save**.
24. Repeat steps 16-23 to modify the status for each voluntary approval.

Enter Establishment Profile

The following guidance covers only what the GC Role would enter in the Establishment Profile from the AFI, AVS, and/or GOI. Much of the information found in the Establishment Profile is entered by the CSI, PHV, or FLS assigned to the establishment according to [FSIS Directive 5300.1](#), *Managing the Establishment Profile in the Public Health Information System* after the GC has added the establishment. Note: For new establishments, field inspection will not be able to update the Profile until after the GC has added the new establishment and the RMA has added the Establishment to an assignment as described in Part F below.

For new establishments, add other information into the PHIS profile from the AFI or AVS, as appropriate, such as Types of Operations from the AFI, or ID services requested from the AVS.

Entering Plant Contact – Information

To add or edit plant contact information:

1. Log in as the CSI, if you have that capability. You cannot edit this information from the GC role.
2. Click **Establishment Profile > Select Establishment**.
3. Enter the establishment number in the **Number** field and click **Search**.

Grant Curator (Domestic & Im) Home About PHIS My Profile Help Sign Out

You are here: Home > Domestic Profile > Select Establishment

Select Establishment

Establishment Profile

- Add Establishment
- Select Establishment
- Profile Summary
- Grants and Approvals
- Contacts
- Operating Schedule
- General
- Equipment
- Facility
- Waivers and Letters
- View Report

Search
My Establishments

Name:

Inspection Type:

Business Unit:

Circuit:

State:

Number:

Operating Status:

Region:

City:

Zip Code:

NOTE: The Number field only accepts numerals. Do not enter M, P, or any suffixes.

4. Click the Icon to select the establishment.

	Name	Number	Circuit	City	State
	Dudley Poultry Co., Inc	M1392 + P1392	35 -	Middlesex	New York

5. Click **Establishment Profile > Contacts**.

6. In the **Establishment** Tab, Click the **Pencil Icon** next to the Name and Position **Owner** to edit the contact information or click **Add new Contact** to enter a new contact person.

7. Click **Save** when entries or edits are complete.

Entering the Jurisdiction

FSIS Form 5200-2, AFI Part 19D identified the Jurisdiction.

After the establishment is selected as above, The GC Role can edit the Jurisdiction under the **Establishment Profile > General** page.

Grant Curator (Domestic & Im) Home About PHIS My Profile Help Sign Out

You are here: Home > Domestic Profile > General

Establishment Profile ▲

- Add Establishment
- Select Establishment
- Profile Summary
- Grants and Approvals
- Contacts
- Operating Schedule
- General**
- Equipment
- Facility
- Waivers and Letters
- View Report

General

House of Raeford - Wallace Div
M737 -P737

Establishment
Ownership
Jurisdiction
Exemptions
Other

Jurisdictions:

FSIS Inspection Only
 State Only
 Talmadge-Aiken Only

Multiple Agencies

N/A
 Dual Inspection with FDA
 AMS Grading/Quality Control
 Establishment provides products for the National School Lunch Program

1. Click the **Jurisdictions** tab.
2. Select the appropriate **Jurisdiction**.
3. Click **Save**.

Entering the Exemptions

FSIS Form 5200-2, AFI, Part 19C identified the Exemptions

After the establishment is selected as above, The GC Role can edit the Exemptions under the **Establishment Profile > General** page.

Grant Curator (Domestic & Im) | Home | About PHIS | My Profile | Help | Sign Out

You are here: Home > Domestic Profile > General

Establishment Profile

- Add Establishment
- Select Establishment
- Profile Summary
- Grants and Approvals
- Contacts
- Operating Schedule
- General**
- Equipment
- Facility
- Waivers and Letters
- View Report

General

House of Raeford - Wallace Div
M737 -P737

Establishment | Ownership | Jurisdiction | **Exemptions** | Other

Exemptions:

- Custom Processing
- Custom Slaughter
- Retail
- Religious Exemptions of Poultry
 - Buddhist eviscerated Poultry
 - Confucian Non-eviscerated Poultry
 - Islamic Poultry
 - Kosher Non-eviscerated Poultry

Save | Cancel

PHIS Home | Build# v6.3.2

Create Assignments (RMA Role)

Once the establishment has been updated with core data, it must be placed into an inspection assignment. This task must be completed by a user with the **RMA (Domestic-OFO)** user role.

Assignments should be created by supervisory order. For example, create a Supervisory CSI assignment prior to creating any subordinate in-plant assignments, such as a GS-7.

1. Log in as an RMA. If a new IPS needs to be created, follow steps 2 through 9. If the new assignment is going to be added to an existing IPS, skip to step 10.
2. Click **Resource Management > Circuit**.
3. Select your circuit from the list.
4. On the **IPS** tab, click **Add new Circuit IPS**.
5. Enter the required information:
 - a. **Number** (should always be two digits. Example: 01)
 - b. **Type**
6. Click **Save**.
7. Click **Return to Previous Page**.
8. From the left menu, click **Assignments**.
9. To select the IPS you just created, complete the **District**, **Circuit**, and **IPS** fields.

10. Click **Add New Assignment**.
11. Verify or enter the required information:
 - a. **Number**
 - b. **Number of Positions**
 - c. Click the **Search** button to select the **HQ Point** and **HQ Point Shift**. Once selected the **Tour of Duty** will populate automatically.
 - d. **Slaughter – On Line**
 - e. **Role**
 - f. **Frequency**
 - g. **Coverage**
 - h. **Standard Job**
 - i. **External Travel %**
 - j. **Supervising Assignment**
12. Click **Save**.
13. Click the green arrow to assign personnel resources and establishments.
14. On the **Assign Establishment** tab, click the **Search Establishments** bar to expose the establishment search fields. By default, you will see a list of all the establishments in that circuit (separated by shift).
15. Click **Assign** next to the establishment you want to add to the assignment.
16. If the personnel assigned is the IIC, select the **Is IIC** check box.
17. On the **Staffing Requirements** tab, enter the **External Travel** amount, if necessary, and click **Update**.
18. If you have another establishment, repeat steps 14-17; otherwise, go to the next step.
19. Click the **Assign Personnel Resources** tab.
20. Click the **Search Personnel Resources** bar to expose the personnel search fields.
21. Search for personnel to assign.

NOTE: If you search for a person and cannot find him or her in the resulting list, it is possible that the record is not flagged appropriately. To flag a personnel record: Login as an RMA and click **Resource Management**

> **Personnel.** On the **Personnel** page use the **Filter Personnel Resources** block to search for the record. Select the record and verify that the “**Is field**” check box is selected. Click **Save**.

22. Click **Assign** if the user is permanently in this assignment. Click **Coverage** if the user does temporary coverage.

NOTE: Users can only be in one permanent assignment.

Verify Completeness

After the GC Role has completed the data entry for an establishment, verify that the record contains all of the following information:

- One or more grants with inspection activities for each grant (requires GC to check the appropriate boxes under “animals to be slaughtered” or “types of products” on **AFI** page)
- Establishment Jurisdiction
 - This information can also be edited by field inspection.
- Days and Hours of Operation

Depending on the type of establishment, verify that the record contains some the following information which should have been entered by field inspection as per [FSIS Directive 5300.1](#). This information is necessary for PHIS to distribute the correct inspection tasks and for the FSIS Laboratories to send sampling supplies.

- HACCP Processing Category
- Product Volume Information
- Jurisdiction
- Sampling Supplies Address

